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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/726,766

12/03/2003

Victor S. Chan

CA920030058US1

4216

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7590

06/20/2007

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EXAMINER

NALVEN, ANDREW L

ART UNIT

PAPER NUMBER

2134

MAIL DATE

DELIVERY MODE

06/20/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

Application No.

10/726,766

Applicant(s)

CHAN ET AL.

Examiner

Andrew L. Nalven

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2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 03 December 2003.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 03 December 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 12/3/2003.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

1. Claims 1-24 are pending.

#### ***Claim Rejections - 35 USC § 101***

1. **Claims 1-16 are rejected under 35 U.S.C. 101** because the claims are directed towards nonstatutory subject matter.
2. **With regards to claims 1-8**, the cited claims are an example of functional descriptive material consisting of data structures and programs that impart functionality when employed as executed by a computer component. The functionality of functional descriptive material is realized only when the functional descriptive material is claimed as being embodied on a computer readable medium and is claimed as executed by a computer component. The cited claims provide no tangible computer components that work in conjunction with the functional descriptive material to impart functionality and as a result the claims are not statutory because they fail the practical application requirement of § 101 by failing to provide a useful, concrete, and tangible result (see MPEP 2106).
3. **With regards to claims 1-8 and 9-16**, the claimed medium (claims 1-8) and the claimed "means" is defined by the specification as being a modulated carrier signal in certain embodiments (Specification, page 7). A signal is an intangible medium and thus

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the claims fail the practical application requirement of 35 USC 101 by failing to provide a use, concrete, and tangible result.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. **Claims 1-7, 9-15, and 17-23 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Win et al US Patent No. 6,453,353 in view of Gillett et al US Patent No. 6,760,711.
3. **With regards to claims 1, 9, 17**, Win teaches a computer program product, system, and method for implementing electronic commerce systems comprising a web site being accessible by one or more users (Win, column 4 lines 20-30 and 34-67, web server with components stored on physical server), the computer readable code means representing the users (Win, column 5 lines 12-15, registered users, column 4 lines 45-51), each user being associated with a unique identity in the system (Win, column 6 lines 1-10, users associated with a particular login, column 6 lines 40-45, associated with a particular username), computer readable program code means for associating a user identity with one of a set of access roles for a security domain (Win, column 5 lines

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44-54, associates each user with access rights defined by their role), the access role defining access privileges for the user corresponding to the user identity (Win, column 5 lines 44-54, associates each user with access rights defined by their role), computer readable program code means for granting or denying access to a user attempting to access a portion of the web site by determining the user identity for the user (Win, column 8 lines 10-16, grants access based upon the user identity, column 3 lines 1-6, denies access based on user identity, column 8 lines 36-46) and determining the access role associated with the user identity for the security domain corresponding to the portion of the web site subject to the access attempt (Win, column 6 lines 10-16). Win fails to teach the security domains comprising a subset of the set of organizations and the on-line stores associated with the organizations in the subset. However, Gillett teaches security domains comprising a subset of the set of organizations and the on-line stores associated with the organizations in the subset (Gillett, column 3 lines 28-60, online stores, column 4 lines 1-10, column 8 lines 20-40). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to utilize Gillett's organizational design using online stores because it offers the advantage of allowing small merchants to set up online stores while having a centralized ISP provide the security and maintenance of the websites thereby diminishing the threat of misuse of information (Gillett, column 1 lines 35-62 and column 1 lines 1-15).

4. **With regards to claims 2, 10, and 18**, Win as modified teaches carrying out the determination of the access role associated with a user identity for a security domain at

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user logon time (Win, column 6 lines 10-16, when logging in, authorized resources are determined and presented to user).

5. **With regards to claims 3, 11, and 19**, Win as modified teaches the set of access roles comprising registered customers and administrator roles (Win, column 4 lines 44-50, roles include users and administrators, column 5 lines 20-33, users include the role of customer, column 16 lines 3-12).

6. **With regards to claims 4-6, 12-14, and 20-22**, Win as modified teaches computer readable program code means operable to define the set of organizations as a tree structure (Gillett, Figure 1, tree structure with ISP 26 as root and merchant computers 24 as leaves. Win, column 5 lines 20-32 and lines 55-56, functional groups of roles own lesser roles), in which the computer readable program code means for associating a user identity with one of a set of access roles further comprises computer readable program code means for associating the user identity with the access role for a selected one of the set of organizations (Win, column 5 lines 24-29, associates users with a particular organization) and computer readable program code means for defining the security domain to include the selected organization (Win, column 5 lines 33-39) and those organizations in the set that are descendants of the selected organization (Win, column 5 lines 54-56).

7. **With regards to claims 7, 15, and 23**, Win as modified teaches computer readable program code means for maintaining and providing look up functionality for a table (Win, column 13 lines 50-52, database tables, column 15 lines 44-46, table of user names and user types and look up functionality provided by Registry Repository)

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comprising rows comprising data representing user identity, organization, and access role associations (Win, column 16 lines 46-53, record includes name, role, and privileges):

8. **Claims 8, 16, and 24 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Win et al US Patent No. 6,453,353 and Gillett et al US Patent No. 6,760,711, as applied to claims 1, 9, and 17 above, and in further view of Aull et al US Patent No. 7,028,180.

9. **With regards to claims 8, 16, and 24**, Win as modified fails to teach computer readable program code means for providing user identities with associated access roles at user registration to a website. However, Aull teaches computer readable program code means for providing user identities with associated access roles at user registration to a website (Aull, column 9 lines 6-21, registers using web server and receives role certificate). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to utilize Aull's registration method because it offers the advantage of providing a method by which all parties involved may give their approval to the granting of a role to a user (Aull, column 9 lines 10-21).

### ***Conclusion***

10. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

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11. Moriconi et al US Patent No. 6,158,010 discloses a system for maintaining security in a distributed computer network.
12. Soderlind et al US PGPub 2002/0069123 discloses an electronic commerce system.
13. Dan et al US Patent No. 7,062,472 discloses an electronic contracts system with primary and sponsored roles.
14. Goswami et al US PGPub 2004/0205554 discloses a system for accessing multiple internal information sources of a business from a composite web document.
15. Schummer US PGPub 2001/0032154 discloses an Internet communications and e-commerce platform.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew L. Nalven whose telephone number is 571 272 3839. The examiner can normally be reached on Monday - Thursday 8-6, Alternate Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on 571 272 3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.



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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Andrew Nalven

A handwritten signature in black ink, appearing to read 'Andrew Nalven', is written over a horizontal line.